

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new non-provisional applications under 37 CFR 1.53(b))

<b>Attorney Docket No.</b>	MODE1140-1
<b>Client Matter Number</b>	2102272-165328
<b>First Inventor or Application Identifier:</b>	Gary E. Betts
<b>Title:</b>	Dielectric Backfill for Optical Modulators Using Ridged Substrates
<b>Express Mail Label No.:</b>	EL617041601US

<p align="center"><b>Application Elements</b> (See MPEP chapter 600 concerning utility patent application contents)</p> <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, &amp; duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>16</u>] (preferred arrangement set forth below)</p> <ul style="list-style-type: none"> <li>• Descriptive title of the Invention</li> <li>• Cross References to Related Applications</li> <li>• Statement Regarding Fed sponsored R&amp;D</li> <li>• Background of the Invention</li> <li>• Brief Summary of the Invention</li> <li>• Brief Description of the Drawings (if filed)</li> <li>• Detailed Description</li> <li>• Claim(s)</li> <li>• Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total sheets <u>3</u>]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>2</u>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)</p> <p>i. <input type="checkbox"/> Deletion of Inventor(s) Signed statement attached in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p><b>ADDRESS TO:</b> Assistant Commissioner For Patents BOX PATENT APPLICATION Washington, D.C. 20231</p> <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table, or Computer Program (Appendix)</p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. <input type="checkbox"/> Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statement verifying identity of above copies</p> <p align="center"><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power Of Attorney (when there is an assignee)</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS Citations Statement (IDS/PTO 1449)</p> <p>13. <input type="checkbox"/> Preliminary Amendment (___ pgs.)</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Express Mail Certification</p> <p>17. <input type="checkbox"/> Request And Certification under 35 USC 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent</p> <p>18. <input checked="" type="checkbox"/> OTHER: Check # <u>502766</u> (\$448.00)</p>
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17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-In-Part of prior application no.:   /  

**Prior application information:** Examiner:                      Group/Art Unit:                     

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number (25548) Or Bar Code Label OR <input type="checkbox"/> Correspondence Address Below	
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<b>NAME</b>	ATTN: Terrance A. Meador <b>GRAY CARY WARE &amp; FREIDENRICH</b>
<b>ADDRESS</b>	4365 Executive Drive, Suite 1100 San Diego, CA 92121-2133

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Name (print/type)	MARK M. TAKAHASHI	Registration No.: (Attorney/Agent)	38,631
Signature	<i>MMT</i>	Date	February 28, 2002

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## FEE TRANSMITTAL

Attorney Docket No.	MODE1140-1
First Named Inventor:	Gary E. Betts
Application Number	Unknown
Filing Date:	Herewith
Examiner Name:	Unknown
Group/Art Unit:	Unknown

<b>TOTAL AMOUNT OF PAYMENT:</b>	<b>\$ 448.00</b>
<b>METHOD OF PAYMENT (check One)</b>	<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and/or credit any over payment to:</p> <p>Deposit Account No.: 07-1895 Deposit Account Name: GRAY CARY WARE &amp; FREIDENRICH</p> <p><input checked="" type="checkbox"/> Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>

### 2. UTILITY Basic Filing Fee & Claims


(1) For	(2) No. filed	(3) No. extra	(4) Large Entity	(5) Small Entity	(6) Calculations
Basic Filing Fee	XX	XX	\$ 740.00	\$370.00	\$ 370.00
Total Claims	24 - 20 =	4	X \$ 18.00	X \$ 9.00	\$ 36.00
Independent Claims	4 - 3 =	1	X \$ 84.00	X \$ 42.00	\$ 42.00
Multiple Dependent Claim(s) (if applicable)			\$ 280.00	\$140.00	\$ 000.00
Total of above Calculations =					\$ 448.00

Basic Filing Fee	Large Entity	Small Entity	Total
Design filing fee	\$ 330.00	\$ 165.00	\$ 000.00
Reissue filing fee	\$ 740.00	\$ 370.00	\$ 0.00
Provisional filing fee	\$ 160.00	\$ 80.00	\$ 0.00
Total of above Calculations =			\$

### 3. ADDITIONAL FEES

Fee Description	Large Entity	Small Entity	Other
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL:			\$

Name (print/type)	MARK M. TAKAHASHI	Registration No.: (Attorney/Agent)	38,631
Signature		Date	February 28, 2002

EL617041601US

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DATE OF DEPOSIT: February 28, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED  
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Rachel Carter

NAME

Rachel Carter

SIGNATURE

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U.S. Patent Application  
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